

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

50233-093

U.S. APPLIC. NO. (if known, see 37 CFR 1.5)

10/070779

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PCT/JP99/06274

November 11, 1999

PRIORITY DATE CLAIMED

November 11, 1998

TITLE OF INVENTION

## OPTICAL CONNECTING COMPONENT

APPLICANT(S) FOR DO/EO/US

Ritsu KAWASE, Kyoichi SASAKI, Ken SUKEGAWA, and Tatsushi KOBAYASHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) ,
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendment has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information.

International Search Report prepared by JPO  
International Preliminary Examination Report  
Front page of published International application

U.S. APPLIC. NO. (if known, see 37 CFR 1.50) <div style="font-size: 2em; font-weight: bold; margin-top: 5px;">10,070779</div>		INTERNATIONAL APPLICATION NO. PCT/JP99/06274		ATTORNEY'S DOCKET NUMBER 50233-093	
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				CALCULATIONS	PTO USE ONLY
17. <input checked="" type="checkbox"/> The following fees are submitted:  <div style="display: flex; justify-content: space-between;"> <div> <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b>            Search Report has been prepared by the EPO or JPO             International preliminary examination fee paid to USPTO (37 CFR 1.482)            No international preliminary examination fee paid to USPTO (37 CFR 1.482)            but international search fee paid to USPTO (37 CFR 1.445(a)(2))             Neither international preliminary examination fee (37 CFR 1.482) nor            international search fee (37 CFR 1.445(a)(2)) paid to USPTO             International preliminary examination fee paid to USPTO (37 CFR 1.482)            and all claims satisfied provisions of PCT Article 33(2)-(4)         </div> <div style="text-align: right;">           \$860.00             \$690.00            \$710.00             \$1,000.00             \$100.00         </div> </div> <div style="text-align: right; margin-top: 10px;"> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> </div>					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	18 -20 =	0	x \$18.00	\$	
Independent Claims	3 -3 =	0	x \$80.00	\$	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 860.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
<b>SUBTOTAL =</b>				\$ 860.00	
Processing fee of \$130.00 for furnishing the English translation later than the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 860.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 900.00	
				Amount to be: refunded	\$
				charged	\$

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 500417 in the amount of \$ 900.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 500417. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

**McDERMOTT, WILL & EMERY**  
 600 13<sup>th</sup> Street, N.W.  
 Washington, DC 20005-3096  
 (202) 756-8000  
 Facsimile (202) 756-8087

SIGNATURE	<i>Robert L. Price</i>
Robert L. Price	
NAME	
22,685	
REGISTRATION NUMBER	
May 9, 2001	
DATE	

Applicant: Ritsu KAWASE, et al. Docket No. 50233-093

Title/Mark: OPTICAL CONNECTING COMPONENT Serial/Reg./Patent No. \_\_\_\_\_

Date Sent: May 9, 2001 ☒ Hand Carried ☐ Fax ☐ 1st-Class Mail ☐ Cert. of Mailing ☐ Express Mail No. \_\_\_\_\_

☒ Transmittal Letter

New Patent App ☐ Utility ☐ Design ☐ Cont. ☐ CIP ☐ Div. ☒ PCT ☐ CPA ☐ RCE ☐ Prov

☒ Other: \_\_\_\_\_

92 pages of Specification ☐ Trademark/Service Mark/Intent-To-Use Application

6 pages of Claims ☐ Amendment to Allege Use ☐ Statement of Use

1 pages of Abstract ☐ Formal/Informal/Substitute Drawing Sheet

3 pages of Formal/Informal Drawings \_\_\_\_\_ (no. of) Substitute/Specimens

☒ Information Disclosure Statement ☐ Continued Use Affidavit/Declaration (Section 8 & 15)

1 Form PTO 1449 ☐ Notice of Opposition/Answer to \_\_\_\_\_

0 copies of cited references ☐ Ex Parte Appeal

☐ Preliminary Amendment ☐ Petition for Cancellation/Answer To \_\_\_\_\_

☐ Response to Missing Parts Notice ☐ Renewal of Reg. No.

☐ Certified Copy of Priority Doc ☒ Combined Declaration/Power of Attorney

☐ Claim for Convention Priority ☐ Letter of Protest

☐ Verified Statement of Small Entity Status ☐ Request for \_\_\_\_\_-day/month Extension of Time

☐ Transmittal of Issue Fee: Form PTO 85b \_\_\_\_\_ ☐ Request for Non-Publication

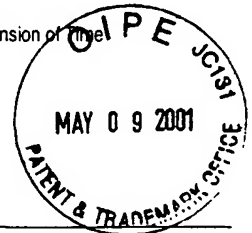
☐ Maintenance Fee for \_\_\_\_\_ years after grant

☐ Notice of Appeal ☐ Appeal Brief

☒ Recordation of ☒ Patent \_\_\_\_\_ Trademark: \_\_\_\_\_ Assignments/Security Agreements/

☐ Response/Amendment to Office Action of \_\_\_\_\_ ☐ Petition to Commissioner for \_\_\_\_\_

☐ Other \_\_\_\_\_



Check for \$	<input checked="" type="checkbox"/> Charge Deposit Acct. 500417 \$	900.00	Atty Init.	RLP	Tkpr. #	4231	Secy. or PL Init.	klm
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CLO2 Descr.: 1-\$860.00

4-\$40.00

THE PATENT AND TRADEMARK OFFICE DATE STAMPED HEREON IS ACKNOWLEDGEMENT THAT THE ITEMS, CHECKED ABOVE, WERE RECEIVED BY THE PTO ON THE DATE STAMPED.